File - HO1270413

Restore Tabs

Summary Information

File Number HO1270413

Assigned Office 42 - OFFICE OF INVESTOR EDUCATION AND ADV

Assigned To MCCREERY, JOHN

Reassign To (no reassignment)

100

Assignment Date 04/03/2008

Contact Type Letter

File Type Complaint

Status Closed

Contact Date 03/20/2008

Received Date 04/03/2008

Priority 🗸

Due Date 04/09/2008

Investor and Registered Representative Information

Name

Type Company

Anonymous

Correspondent Investor

View/Edit

Assignment History

Assignment Date Assignee

Name Type Issuer

Bernard Madoff

Broker-dealer

Bernard L. Madoff

View/Edit

Complaint/Inquiry Codes

Code and Description

140 - Theft of funds or securities (Group: SP-Sales Practices)

View/Edit

Product

Product Name

Product Code

Analysis

Comment

Contacts with Investor/Entity

Type Reply

Date Comment

Contact to Other SEC Division or Office

Internal

04/07/2008

FYI referral to Simona Suh

View/Edit

Referrals

04/07/2008

Simona Suh

Referral Date Referred To Referral Type

I - Internal Information

Referred Reason

03 - Other apparently fraudulent conduct

View/Edit

Disposition Information

Disposition Code 09 - Referral within SEC; no response to investor

Disposition Date 04/07/2008

Disposition Comment

Investor Amount

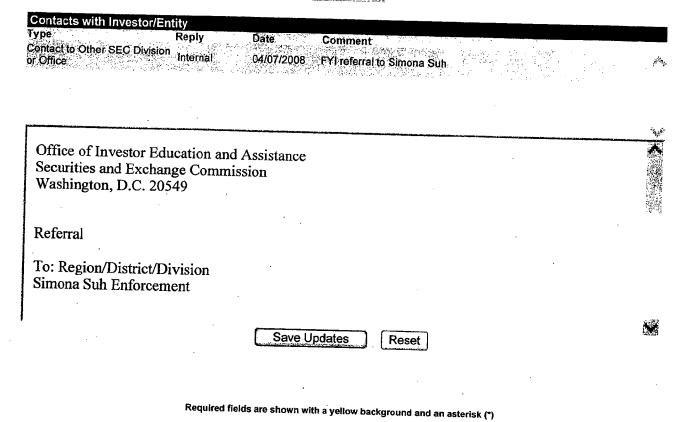
Recovered

Code and Description

12/12/2008

https://secprod0.sec.gov:4000/acts/do/Contact/Edit?action=Edit&ContactID=1360765

Send Email



Office of Investor Education and Assistance Securities and Exchange Commission Washington, D.C. 20549

Referral

To: Region/District/Division Simona Suh Enforcement

From: Jack McCreery Attorney Date: April 7 2008 Approved By: OIEA Branch Chief Date

OIEA File Number: HO-1270413

Reason for referral: FYI.

Copies of relevant reports/correspondence are attached (Y/N): Y

Systems Searched (Y/N) Names Searched NRSI Y Madoff EDGAR TMS N CRD N ACTS N Lexis/Nexis N

Anonymous letter. The return address on the envelope appears to be for the New York public library.

Modified: 01/05/2004